

## BrokerCheck Report

### DEDRIC HILLERY GILL III

CRD# 1935821

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**DEDRIC H. GILL III**

CRD# 1935821

This broker is not currently registered.

## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

**This broker is not currently registered.**

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

### Registration History

**This broker was previously registered with the following securities firm(s):**

- B QA3 FINANCIAL CORP.**  
CRD# 14754  
OMAHA, NE  
08/2003 - 03/2009
- B ROBERT W. BAIRD & CO. INCORPORATED**  
CRD# 8158  
MILWAUKEE, WI  
12/1996 - 08/2003
- B CORELINK FINANCIAL, INC.**  
CRD# 23302  
ST. CLOUD, MN  
11/1996 - 12/1996

### Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	3

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7	07/15/1989

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/09/2000

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 08/2003 - 03/2009	QA3 FINANCIAL CORP.	14754	OMAHA, NE
<b>B</b> 12/1996 - 08/2003	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI
<b>B</b> 11/1996 - 12/1996	CORELINK FINANCIAL, INC.	23302	ST. CLOUD, MN
<b>B</b> 09/1993 - 11/1996	NORWEST INVESTMENT SERVICES, INC.	16100	MINNEAPOLIS, MN
<b>B</b> 07/1989 - 09/1993	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
<b>B</b> 07/1989 - 09/1993	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
08/2003 - Present	QA3 FINANCIAL CORP	REGISTERED REP	Y	OMAHA, NE, United States
08/2003 - Present	QA3 FINANCIAL LLC	INVESTMENT ADVISOR	Y	OMAHA, NE, United States

# Disclosure Events



## What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	3	0





## Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### Disclosure 1 of 3

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	03/25/2010
<b>Docket/Case Number:</b>	<a href="#">2009017234001</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	QA3
<b>Product Type:</b>	Other: PRIVATELY-HELD COMPANIES
<b>Allegations:</b>	FINRA RULES 2010, 8210, NASD RULES 2110, 2370, 3040 - DEDRIC HILLERY GILL ENGAGED IN PRIVATE SECURITIES TRANSACTIONS BY REFERRING PUBLIC CUSTOMERS TO INVEST \$266,600 IN PRIVATELY HELD COMPANIES WITHOUT PRIOR WRITTEN NOTICE TO HIS MEMBER FIRM. GILL BORROWED FROM AND LOANED FIRM CUSTOMERS A TOTAL OF \$115,000 CONTRARY TO HIS FIRM'S PROCEDURES PROHIBITING ITS REGISTERED PERSONS FROM LENDING MONEY TO, OR BORROWING MONEY FROM, ITS CUSTOMERS. GILL FAILED TO RESPOND TO A FINRA REQUEST FOR DOCUMENTS AND TO APPEAR FOR AN ON-THE-RECORD INTERVIEW.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No



**Resolution Date:** 03/25/2010  
**Sanctions Ordered:** Bar (Permanent)

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**  
No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

#### Sanction 1 of 1

**Sanction Type:** Bar (Permanent)  
**Capacities Affected:** All Capacities  
**Duration:** Indefinite  
**Start Date:** 03/25/2010  
**End Date:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, GILL CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY.

#### Disclosure 2 of 3

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NEBRASKA DEPARTMENT OF BANKING AND FINANCE  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:** RESTRICTIVE AGREEMENT  
**Date Initiated:** 09/07/1999  
**Docket/Case Number:**



**Employing firm when activity occurred which led to the regulatory action:**

<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	LAB-INTERLINK STOCK
<b>Allegations:</b>	THE ACTIVITIES OF DEDRIC H. GILL, III WILL BE RESTRICTED FOR TWO YEARS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Resolution Date:</b>	09/07/1999
<b>Sanctions Ordered:</b>	
<b>Other Sanctions Ordered:</b>	ON SEPTEMBER 7, 1999, THE NEBRASKA DEPARTMENT OF BANKING AND FINANCE, DEDRIC H. GILL III, AND ROBERT W. BAIRD & CO., ENTERED INTO AN ORDER OF CONSENT, RESTRICTING THE ACTIVITIES OF DEDRIC H. GILL, III AS A REGISTERED AGENT IN THE STATE OF NEBRASKA, IMPOSING THE NUMEROUS SANCTIONS.
<b>Sanction Details:</b>	<p>SANCTIONS INCLUDE:</p> <ol style="list-style-type: none"> <li>1. GILL SHALL NOT ACT IN ANY SUPERVISORY, PRINCIPAL, OR MANAGERICAL CAPACITY.</li> <li>2. GILL SHALL HAVE NO DISCRETIONARY ACCOUNTS.</li> <li>3. ALL NEW ACCOUNT DOCUMENTS SHALL BE SIGNED AND DATED BY THE INVESTOR, AND THESE DOCUMENTS SHALL BE REVIEWED AND INITIALED OR SIGNED BY GILL'S SUPERVISOR AT BAIRD &amp; CO.</li> <li>4. GILL'S SUPERVISOR SHALL REVIEW GILL'S TRADING LOGS ON A WEEKLY BASIS FOR SUITABILITY AND ANY OTHER COMPLIANCE ISSUES.</li> <li>5. GILL'S SUPERVISOR SHALL PROVIDE QUARTERLY REPORTS.</li> <li>6. GILL SHALL BE SUPERVISED BY WAYNE BREYFOGLE.</li> <li>7. GILL SHALL NOTIFY BAIRD &amp; CO., AND THE DEPARTMENT OF ANY WRITTEN OR ORAL COMPLAINT REGARDING HIS SECURITIES ACTIVITIES.</li> <li>8. BAIRD &amp; CO. SHALL NOTIFY THE DEPARTMENT OF ANY ORAL OR WRITTEN COMPLAINT REGARDING THE SECURITIES ACTIVITIES OF GILL WITHIN 30 DAYS OF RECEIPT OF THE COMPLAINT.</li> <li>9. BAIRD &amp; CO. SHALL NOTIFY THE DEPARTMENT OF THE FAILURE OF GILL TO MEET ANY OF THE REQUIREMENTS OF THIS ORDER WITHIN 72 HOURS OF THE DISCOVERY OF SUCH "FAILURE".</li> <li>10. BAIRD &amp; CO. AND GILL SHALL COMPLY WITH ALL ASPECTS OF THIS ORDER FOR TWO YEARS FROM RELEASE OF THE SUSPENSION BY THE NASD.</li> </ol>



11. GILL SHALL RETAKE AND PASS THE UNIFORM SECURITIES AGENT STATE LAW (SERIES 63) EXAMINATION AND ACHIEVE A PASSING SCORE OF 80% OR BETTER PRIOR TO MARCH 31, 2000.

#### Regulator Statement

PLEASE CONTACT THE NEBRASKA DEPARTMENT OF BANKING AND FINANCE, SECURITIES BUREAU AT (402)471-2171, WITH ANY QUESTIONS.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** STATE OF NEBRASKA

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** CONSENT ORDER

**Date Initiated:** 09/02/1999

**Docket/Case Number:** NONE

**Employing firm when activity occurred which led to the regulatory action:** NORWEST INVESTMENT SERVICES, INCORPORATED

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** ALLEGED PRIVATE SECURITIES TRANSACTIONS RESULTING IN A NASD ACCEPTANCE WAIVER AND CONSENT

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 09/03/1999

**Sanctions Ordered:**

**Other Sanctions Ordered:** GILL CANNOT ACT IN A SUPERVISORY, PRINCIPAL, OR MANAGERIAL CAPACITY. HE CANNOT HAVE DISCRETIONARY ACCOUNTS AND WAS PLACED UNDER SPECIAL SUPERVISION. MUST RETAKE SERIES 63 EXAM.

**Sanction Details:** MUST RETAKE SERIES 63 AND ACHIEVE A PASSING SCORE OF 80% OR BETTER PRIOR TO MARCH 31, 2000. MUST ABIDE BY ALL STIPULATIONS AND BE UNDER SPECIAL SUPERVISION FOR A PERIOD OF TWO YEARS; 09/03/2001

**Broker Statement** AS A RESULT OF GILL'S NASD AWC AND SUSPENSION, THE STATE OF NEBRASKA ENTERED A CONSENT ORDER AGAINST GILL.



### Disclosure 3 of 3

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/30/1999

**Docket/Case Number:** C04990028

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** Other

**Other Product Type(s):** UNKNOWN TYPE OF SECURITIES

**Allegations:** NASD RULES 2110 AND 3040 - RESPONDENT GILL ENGAGED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PROVIDING ALL FORMS OF NOTICE REQUIRED BY NASD RULE.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 06/30/1999

**Sanctions Ordered:** Censure  
Disgorgement/Restitution  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD REGULATION, INC.

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:**



**Date Initiated:** 06/30/1999

**Docket/Case Number:** C04990028

**Employing firm when activity occurred which led to the regulatory action:** NORWEST INVESTMENT SERVICES

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** ALLEGED VIOLATIONS OF NASD CONDUCT RULE 2110 AND 3040 WITH RESPECT TO PRIVATE SECURITIES TRANSACTIONS.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 06/30/1999

**Sanctions Ordered:** Censure  
Disgorgement/Restitution  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** SUSPENDED 20 DAYS STARTING AUGUST 16, 1999 AND ENDING SEPTEMBER 3, 1999. FINE OF \$5000. PAY RESTITUTION OF \$36,150 TO CUSTOMERS WITHIN 90 DAYS.

**Broker Statement** I PROVIDED A LIST OF NAMES TO THE PRINCIPALS AT LAB INTERLINK BUT DID NOT INTEND TO BE INVOLVED IN THE SALE OF ANY SECURITIES. I ALSO DISCLOSED THE MATTER TO MY IMMEDIATE SUPERVISOR.

## End of Report



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